



PATENT  
245001-2000.2

IFW

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Gary KATZ and Greg MAYNARD  
Serial No.: 10/771,993  
Filed: February 3, 2004  
For: AUTOMATED EXCHANGE FOR TRADING  
COMPLEX ORDERS  
Art Unit: 3622

745 Fifth Avenue  
New York, NY 10151

**FIRST CLASS MAIL CERTIFICATE**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on April 2, 2007.

Stephen J. Lieb, Reg. No. 41,943

Name of Applicant, Assignee or Registered Representative

Signature

April 2, 2007  
Date of Signature

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. 1.97 (b)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

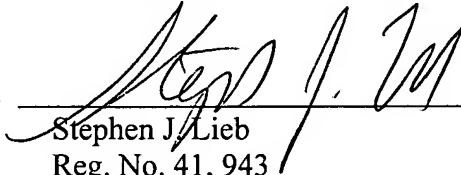
In compliance with the duty of disclosure set forth in 37 C.F.R. 1.56, applicants are filing this Information Disclosure Statement and the accompanying form PTO-1449. Such prior art has recently come to the attention of applicants. So far as applicants are aware, this Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits.

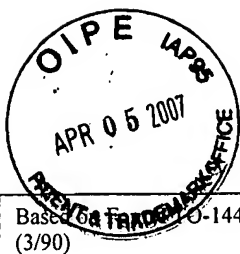
The filing of this Information Disclosure Statement is not an admission that the documents identified herein constitute prior art to the present application.

Please charge any fees incurred by the filing of this document or credit any overpayment to Deposit Account No. 50-0320.

Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP  
Attorneys for Applicants

By:   
Stephen J. Lieb  
Reg. No. 41, 943  
Tel. (212) 588-0800



Base Patent No. 1449 (3/90)  <b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	<b>ATTY. DOCKET NO.</b> 245001-2000.2	<b>SERIAL NO.</b> 10/771,993
	<b>APPLICANT</b> Gary Katz.	
	<b>FILING DATE</b> February 3, 2004	<b>GROUP</b> 3622

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	US 7,162,448	01/2007	Madoff et al.			
	AB	US 7, 162,447	01/2007	Cushing, David			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AL	EP 1 528 497	05/2005	Europe			
	AM						
	AN						
	AO						
	AP						
	AQ						
	AR						

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
	AS		BBA- British Banker's Association- Revision of the IDS: Market Structure, Transparency and Liquidity; <a href="http://www.bba.org.uk/bba/jsp/polopoly">http://www.bba.org.uk/bba/jsp/polopoly</a>				
	AT		Random Walk Computer, Inc., White Paper: ECN Aggregators- Increasing Transparency and Liquidity in Equity Matters				

EXAMINER	DATE CONSIDERED
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\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.